



Competitive Grant

A n n o u n c e m e n t

Adult Drug Court Implementation Grants

Fiscal Year
2003

Submission Deadline
May 22, 2003

BJA

U.S. Department of Justice
Office of Justice Programs
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The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime.

Adult Drug Court Implementation Grants

Grant Announcement

The Bureau of Justice Assistance,
Office of Justice Programs, announces the following:

Tribal Drug Courts

Tribal jurisdictions interested in applying to implement or enhance a tribal drug court during fiscal year 2003 should apply using this solicitation. There will not be a separate solicitation for tribal drug courts.

Resource Guide for Drug Court Applicants

BJA has developed the *Resource Guide for Drug Court Applicants* to assist you with the application process. This document is available only on the web at www.ojp.usdoj.gov/fundopps.htm. This application kit frequently makes references to the resource guide.

Drug Court Planning Initiative

The Fiscal Year 2003 Drug Court Planning Initiative will be announced separately. To receive an electronic announcement, visit www.dcpj.ncjrs.org.

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APPLICATION CHECKLIST

All applications must be submitted electronically through the Grants Management System (GMS) by 5 p.m. e.t. **May 22, 2003**. For further information on GMS, see page 7, or go to www.ojp.usdoj.gov/fundopps.htm.

Your GMS application must include (in the following order):

_____ An Application for Federal Assistance (Standard Form 424). All data fields in the electronic form must be completed, see page 9.

_____ One Program Narrative file that includes the following:

A. Applicant Information Page, see page 9.

B. Abstract, see page 10.

C. Program Design, see page 10.

D. Time Task Plan, see page 18.

E. Applicant Certifications, see page 18.

F. Consent Form, see page 20.

Please note that you must upload one file per attachment. Only the most current file uploaded to the appropriate attachment will be saved as a part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

_____ A Budget Detail Worksheet and Narrative file, see page 21. (Must be attached under **Budget Detail Worksheet Attachments** in GMS.)

_____ The name of the authorizing official on the Assurances and Certifications screen. The authorizing official must review the Assurances and Certifications forms in their entirety (see page 23). The authorizing official does not need to submit signed hard copies of these forms to the Bureau of Justice Assistance.

_____ Letters of Support (if applicable) and Authorization Letters (if applicable), see page 23. These items must be faxed to 202-354-4147 by 5 p.m. e.t. **May 22, 2003**. Be sure to include your assigned application number (e.g., 2003-Z001-MD-DC) on **the top of each of the faxed** documents for identification purposes.

(over)

IMPORTANT NOTE: Applications that do not meet the following formatting requirements will not be reviewed or considered for funding.

The **Program Design** is a description of the project to be implemented. This section must be:

1. Typed using a 12-point font.
2. Formatted with:
 - a. Double spacing.
 - b. Left justification.
 - c. 1-inch top, bottom, left, and right margins.
3. Submitted with all pages numbered.
4. Submitted with a Program Design that does not exceed the 26-page limit allowed for this grant category. The page limits do not include the Applicant Information Page, Abstract, Time Task Plan, Applicant Certifications, Consent Form, Budget Detail Worksheet and Narrative, Assurances and Certifications, and Letters of Support and Authorization Letters.

IMPORTANT NOTE: The Drug Courts Program is authorized under Title I, Part EE, of the Omnibus Crime Control and Safe Streets Act of 1968, Pub. L. No. 90-351, Title I, 82 Stat. 197, as amended by the 21st Century Department of Justice Appropriations Authorization Act, Pub. L. No. 107-273, Division B, Title II, Subtitle C, 116 Stat. 1758 (2002). For FY 2003, Congress appropriated \$45 million to implement the program.

FY 2003 Program

Background

In November 2002, BJA assumed responsibility for administering the Drug Court Grant Program and the Drug Court Training and Technical Assistance Program. The Drug Court Grant Program is a discretionary program designed to assist states, state courts, local courts, units of local government, and Indian tribal governments in developing and establishing drug courts for substance-abusing adult and juvenile offenders.

Drug court programs funded by the Drug Court Discretionary Grant Program are required by law to target **nonviolent offenders** and must implement a drug court based on the 10 key components. The term “drug court” means a specially designed court calendar or docket (**a separate or special jurisdiction court is neither necessary nor encouraged**).

For Adult Drug Court Implementation Grants, the term “violent offender” means a person who either:

- A. Is charged with or convicted of an offense during the course of which:
 - 1. The person carried, possessed, or used a firearm or other dangerous weapon.
 - 2. The person used force against another person.
 - 3. Death, or serious bodily injury, occurred to any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted.
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Applicants must provide written assurance that they will target nonviolent offenders as defined by statute. Further information on the Violent Offender Prohibition may be found in appendix A of the *Resource Guide for Drug Court Applicants*.

FY 2003 Drug Court Grant Program

The FY 2003 Drug Court Grant Program is responsive to, and supportive of, developments in the field. As a result, BJA announces the availability of both implementation and enhancement grants. All applications must be submitted electronically via the Grants Management System by 5 p.m. e.t. **May 22, 2003**. See page 7 for further information on GMS.

1. Application Deadline and Formatting Requirements

Deadline

All applications must be submitted electronically through the Grants Management System (GMS) by 5 p.m. e.t. **May 22, 2003**. See page 7 for further information on GMS.

Formatting Requirements

Applications that do not meet the following formatting requirements will not be reviewed or considered for funding.

The **Program Design** is a description of the project to be implemented. This section must be:

1. Typed using a 12-point font.
2. Formatted with:
 - a. Double spacing.
 - b. Left justification.
 - c. 1-inch top, bottom, left, and right margins.
3. Submitted with all pages numbered.
4. Submitted within the 26-page limit allowed for this type of grant category. The page limits do not include the Applicant Information Page, Abstract, Time Task Plan, Applicant Certifications, Consent Form, Budget Detail Worksheet and Narrative, Assurances and Certifications, and Letters of Support and Authorization Letters.

2. Application Review and Award Process

Applications submitted in response to this solicitation will be reviewed by a panel of drug court professionals, who will make recommendations to OJP regarding the relative strengths of the applications. Reviewers will consider how well each applicant covers the information requested in these guidelines. No appendixes will be reviewed other than those required in the application. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to **innovative** and **comprehensive** programs. Only programs containing the essential elements of treatment drug courts, described on page 4 of the *Resource Guide for Drug Court Applicants*, will be funded. The final award decision is by OJP.

Awards will be processed and mailed to the recipients by October 2003. Once funding decisions are made, a list of selected applicants will be available on the OJP home page at www.ojp.usdoj.gov.

Application Point System

The following point values will be assigned to the corresponding application criteria:

- A. Statement of the problem (15 points).
- B. Goals and objectives (5 points).
- C. Description of the drug court program (50 points).
- D. Roles and responsibilities of the drug court team (15 points).
- E. Evaluation of management information system plans (10 points).
- F. Budget Detail Worksheet and Budget Narrative (5 points). See the *Resource Guide for Drug Court Applicants* regarding the Budget Detail Worksheet and Narrative Attachment and Sample Drug Court Budget.

APPLICATION PROCESS

Overview of the Grants Management System

In fiscal years 2001 and 2002, the Drug Court Discretionary Grant Program was one of several OJP programs to pilot the OJP online Grants Management System. GMS is a web-based grant management system designed to meet the requirements of all online Internet-based application submissions by external organizations and OJP internal application processing and grant administration requirements. BJA reviews and processes awards through GMS. Once you have begun the application process, you will be able to access help screens to answer questions regarding certain data fields and other aspects of GMS. You can access the FY 2003 Drug Court Grant Program Application Kit and a link to GMS from the OJP web site at www.ojp.usdoj.gov/fundopps.htm.

Again in fiscal year 2003, grant applications to BJA must be submitted electronically. To assist you in submitting your application online, a GMS Applicant Procedures manual can be found at www.ojp.usdoj.gov/fundopps.htm. **Click on the “GMS Application Procedures Handbook” link.**

It is critical that the person who submits the application is either the signing authority or has been delegated or designated as the signing authority by the appropriate entity. The application contains assurances and certifications that must be reviewed and accepted electronically by the authorizing official or the designated authorizing official. If either the authorizing official or designated authorizing official created a user profile and submitted an application in FY 2000 through FY 2002, he or she will not be required to create a new user profile for FY 2003. However, if he or she did not submit a prior application, his or her user profile must be approved by BJA by **May 8, 2003** (2 weeks prior to the submission deadline of May 22, 2003).

If you submit application(s) to other OJP offices or bureaus, please use a separate user profile for each individual application. This will ensure that each user profile has a distinct application.

Only the most current file uploaded as an attachment is saved as part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

If you do not have an Internet account established, please contact the GMS Hotline at 1-888-549-9901 for assistance in creating an account. Please be advised that applicants must use Netscape 4.75 or an equivalent browser for security purposes.

Instructions for Submitting Applications Online—Grants Management System

Using an established Internet account, or after creating an account with GMS staff assistance, complete the following steps:

Step 1. Visit the GMS web site at www.ojp.usdoj.gov/fundopps.htm.

Step 2. Click on the “Logon directly to the Grants Management System (GMS)” link.

Step 3. Follow the onscreen instructions. If you are a first time GMS user, click the “First Time User?” link. If you have any questions, refer to the Applicant Procedures or access applicable help screens. In the event that your questions cannot be addressed by accessing the online GMS reference tools, call the GMS Hotline at 1-888-549-9901 for assistance. Previous users should contact the GMS Hotline if they are having difficulty with their user ID and password.

Step 4. Submit your application online by 5 p.m. e.t. **May 22, 2003**. Do not procrastinate; your new user profile must be approved by BJA before you can submit your application. All applicants must have their user information approved by BJA by 5 p.m. e.t. **May 8, 2003**.

Step 5. Fax letters of support, letters of authorization, and a copy of any active federal grant awards related to this effort (see page 23) to 202-354-4147 by 5 p.m. e.t. **May 22, 2003**. Include your GMS-assigned application number on all faxed documents for identification purposes.

For the purposes of this application kit, eligible applicants are states, state courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided in the Definitions section of the *Resource Guide for Drug Court Applicants*. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a subunit of government (e.g., county probation department, district attorney’s office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney’s office as its representative for the purpose of application. A sample authorization letter can be found in the *Resource Guide for Drug Court Applicants*.

Any community that currently has, or previously had, a grant from BJA may submit an application; however, a compelling case must be made for the need for additional resources from BJA.

1. Application for Federal Assistance (SF 424)

After you have established a GMS user profile and selected the BJA solicitation, you are ready to move on to Step 1 of the application process. Step 1 is to complete the Application for Federal Assistance. This is a standard form used by most federal agencies. This form contains 18 different items that are to be completed. For instructions and information about the SF 424 form, see the *Resource Guide for Drug Court Applicants*.

2. Program Narrative Attachments

Step 2 of the application process is to attach the Program Narrative. The Program Narrative consists of six separate sections, all of which must be attached and submitted as **one file**. **Only the most current file uploaded as an attachment is saved as part of the application.** Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract. Please note that in order for your application to be considered for funding all six sections of the Program Narrative must be completed, and the page limits set forth in each section must not be exceeded.

A. Applicant Information Page

The first section of the Program Narrative is the Applicant Information Page. The following information **must be complete** and provided in this order as listed.

1. Adult Implementation Grant
 - a. Tribal court.
 - b. State court.
2. Authorizing Official Information
 - a. Name and job title.
 - b. Agency.
 - c. Address.
 - d. Phone number.
 - e. Fax number.
 - f. E-mail address.
3. Applicant Contact Information
 - a. Name and job title.

- b. Agency.
- c. Address.
- d. Phone number.
- e. Fax number.
- f. E-mail address.
- 4. Size of Jurisdiction
 - a. Population of jurisdiction.
 - b. Urban, suburban, or rural.
 - c. State, local, or tribal community.
 - d. Name of city and county where court is located.
- 5. Designation of jurisdiction by the U.S. Department of Housing and Urban Development as an Empowerment Zone or Enterprise Community.
 - a. Applicants will identify themselves as such or state that this designation does not apply to their jurisdictions.
 - b. Applicants will describe, in one paragraph, how they will target their drug court effort to their designated area.
- 6. Indicate whether your jurisdiction has ever received a planning grant from the Drug Court Discretionary Grant Program or participated in the Drug Court Planning Initiative. If you received a planning grant, include the grant number for the award. If you participated in the Drug Court Planning Initiative, indicate the dates of the training programs.
- 7. Indicate whether your jurisdiction has ever received a continuation, enhancement, implementation, or mini-grant from BJA. Include the grant number for each award.
- 8. Indicate whether or not the application is requesting federal funding to support:
 - a. Automated management information system development and/or implementation.
 - b. Process or outcome evaluation.

B. Abstract

The second section of the Program Narrative must include a one-page summary of the program proposed for funding.

C. Program Design

The third section of the Program Narrative is the Program Design.

Implementation grants are available to assist jurisdictions with the initial implementation of a drug court based on the 10 key components, to help jurisdictions develop a strong program, and to allow jurisdictions to collect data necessary to demonstrate the effectiveness of the program. After receiving an implementation grant, a jurisdiction should be able to demonstrate its program's effectiveness to potential state and local funding sources to develop the resources necessary to sustain the program after the implementation grant expires.

Implementation grants are available to any jurisdiction that has completed the planning process and is ready to implement a drug court. Jurisdictions that are able to provide the level of detail requested are encouraged to apply. Jurisdictions that have completed the BJA-sponsored or previously DCPO-sponsored planning training will be given special consideration for funding. Completion of BJA-sponsored or previously DCPO-sponsored planning training, however, is not a guarantee of receipt of an implementation grant.

Adult Drug Court Implementation Grants are available for up to a total of \$500,000 in federal assistance and for up to 3 years. To assist BJA in the review of applications, follow the outline provided in each section. The Program Design should describe the adult drug court project to be implemented and **must** include all of the following information.

1. **Statement of the Problem** ($\frac{1}{2}$ –1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. The following information should be included in this section.
 - a. Provide the following breakdown of the arrestee population in your community:
 - 1) Race/ethnicity.
 - 2) Age.
 - 3) Gender.
 - b. Provide information on the specific substance abuse patterns among adult offenders in your community.
 - c. Describe how these substance abuse patterns negatively affect your community.
 - d. Describe the volume of arrests and crime patterns for adult offenders in the community and how this relates to the number of referrals the drug court expects.
 - e. Describe the problems associated with how the court system currently operates.
 - f. Discuss the problem with how cases involving substance abuse are handled in the existing system.
 - g. Given the volume of arrests and number of referrals expected (discussed above), are the treatment slots available in the community sufficient to meet the need?
 - h. Explain the inability to fund the program adequately without federal assistance.

2. **Goals and Objectives** (½–1 page): Provide a broad statement (goals) describing the desired results of the proposed project and identify the specific objectives to be achieved. Goals and objectives should be described using measurable performance indicators and should include a discussion on how the achievement of goals will be measured. To begin the process of goal setting, it may be helpful to frame the issue by asking:
 - a. How will the problems stated in section A be addressed by this program?
 - b. What are the expected outcomes for the drug court?
 - c. What impact will the program have on the adult offender and the community?
 - d. How will we know that our goals have been achieved?
3. **Description of the Drug Court Program** (8–10 pages): Describe the drug court program that will be implemented. All of the following questions must be answered and each key component must be addressed in the description.
 - a. **Screening and Eligibility**
 - 1) Provide a description of the group of adult offenders who will be eligible to receive the services of the drug court.
 - 2) What are the drugs of choice for the target population? What are the substance abuse patterns?
 - 3) How, and by whom, are eligible clients identified, screened, and referred to the drug court?
 - 4) Describe how the drug court will ensure that (1) program participants are reflective of the race, ethnic diversity, age, and gender of the arrestee population and (2) the program is serving the target population as defined in the program design.
 - 5) What is the average length of time, in days, between arrest and first appearance in the drug court? Explain the process.
 - 6) What is the average length of time, in days, between arrest and enrollment in treatment? Explain the process.
 - 7) Describe the monitoring process that will be implemented to ensure that the targeted capacity of the program is reached and describe how the targeted capacity was decided on. Relate this to the amount of funding requested.
 - b. **Structure of the Drug Court** (e.g., deferred prosecution, postadjudication, or a combination)
 - c. **Length of the Program**
 - d. **Case Processing**
 - 1) How does a case enter the drug court? Explain the process.
 - 2) How is the case resolved, based on the client's successful or unsuccessful completion of the drug court program?

e. Assessment

- 1) Who and/or what agency is responsible for conducting a clinical assessment of the client?
- 2) What are the assessment criteria? What instruments are used to assess the strengths and needs of the client?
- 3) What is the time period for conducting an initial assessment? Explain the process.
- 4) Describe how the assessment is used to develop the treatment plan and to match treatment needs with treatment services.

f. Service Delivery Plan (Applicants are strongly encouraged to review appendix D from the *Resource Guide for Drug Court Applicants* for guidance on the components of a comprehensive treatment continuum.)***Substance Abuse Treatment Services***

- 1) Does the drug court use one treatment provider or multiple providers?
- 2) Describe the treatment provider(s) (e.g., public health organization, private nonprofit, for profit).
- 3) How will the program address the need for different treatment modalities to be responsive to client needs, as stated in the problem statement?
- 4) How do the treatment providers exchange information about a client's progress with members of the drug court team?
- 5) Is the ethnicity of the treatment staff compatible with the target population?
- 6) Describe how the treatment services will serve clients from different cultures in the community.
- 7) Describe the individualized treatment plan that is developed for each client that addresses the client's strengths and needs. How often is this plan reviewed and/or revised?
- 8) Describe in detail the treatment protocol (e.g., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- 9) Describe the structured continuing care component of the drug court program.
- 10) Do treatment services include (and, if so, how frequently):
 - Group counseling sessions?
 - Individual counseling sessions?
 - Family counseling sessions?
- 11) Describe the gender- and age-specific treatment available.
- 12) Describe how the program addresses anger management, violence prevention, victimization issues, and values formation as part of the program.

Aftercare/Continuing Care Services

- 1) Who is responsible for working with clients to develop their aftercare/continuing care plans? What is the client's role in developing the plan?
- 2) Describe the specific aftercare services available to the clients.
- 3) Describe the timeframe that services are available.
- 4) Who is responsible for coordinating and managing the aftercare/continuing care services? Explain the process.

Note: The drug court statute requires that grant recipients provide aftercare/continuing care services.

Educational and Vocational Services

- 1) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of educational and vocational services?
- 2) Describe how the drug court will meet the clients' needs.
- 3) Describe the role of the local education community with the drug court.

Primary and Mental Health Care Services

- 1) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of primary and mental health care services?
- 2) Describe how the drug court will meet the clients' needs.
- 3) Describe the role of the local medical and mental health community with the drug court program.

Collateral Services

- 1) Who is responsible for working with clients to identify their collateral services needs and to ensure that these needs are met?
- 2) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?
- 3) Describe the relationship the court has established to meet the collateral service needs of the clients. Collateral services may include, but are not limited to, the following:
 - Public housing.
 - Transportation.
 - Mentoring programs.
 - Community service.
 - Job preparation.

g. Case Management

- 1) Who is responsible for providing case management?

- 2) How is case management defined?
- 3) What services are provided?
- 4) How frequently are cases monitored?
- 5) What is the approximate caseload per case manager?

h. Judicial Supervision

- 1) Does the drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of the clients? If not, how is this information provided to the judge and communicated to the team?
- 2) How frequently does the client appear before the judge?
- 3) Who, other than the judge and the client, participates in the status hearings (e.g., prosecutor, defense attorney, probation officers, treatment counselors)? What are their roles?

i. Drug Testing

- 1) How frequently are clients tested for drug use?
- 2) Who is responsible for administering the drug tests?
- 3) Explain the randomization process.
- 4) Explain the process/procedures used to guard against tampering and adulteration.
- 5) What is the turnaround time for results?
- 6) What drugs will be tested for? Explain the rationale for determining which drugs will be tested for.

j. Incentives and Sanctions

- 1) What are the graduated incentives and sanctions used in the program?
- 2) What are the guidelines for applying graduated sanctions and incentives?
- 3) How soon after an action (positive or negative) does the client receive the incentive or sanction?

k. Graduation Requirements (Provide details about the requirements for sobriety, employment, education, and life skills.)

l. Expulsion Criteria (What are the circumstances that cause a client to be terminated from the program?)

m. Treatment and Restitution Costs. Describe how the program will collect payments from the offender, in whole or in part, for the following:

- 1) Treatment costs (e.g., drug testing and counseling).
- 2) Restitution costs to either the offender's victim or to a victim support fund.

Note: The current statute requires payments for treatment and restitution; however, it does not allow imposing a fee on a client that would interfere with the

client's rehabilitation. Thus, the description must include provisions for determining if these costs would interfere with a client's rehabilitation.

- n. **Community Linkages.** Describe the community linkages that the court has or will establish to support the program. (Community agencies and organizations **may include, but are not limited to**, bar associations, businesses, civic groups, community foundations, faith organizations, health and mental health agencies, hospitals, media outlets, social service agencies, universities/colleges, and Urban League.)
- 4. **Roles and Responsibilities of the Drug Court Team** (1–2 pages): Identify each member of the drug court team and describe his or her role and responsibilities. Also describe the mechanisms that have been, or will be, established to ensure effective communication and coordination among the team. The six key drug court team members must include a judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.
- 5. **Evaluation and Management Information System Plan** (8–12 pages): Grant recipients are **required** to conduct both a **process and an outcome evaluation**, and to collect and maintain the key data necessary to support both types of evaluations. Grant recipients are required to submit a final evaluation and/or MIS plan prior to accessing funding for these activities.

Applicants must identify the independent evaluator who will assist the drug court in conducting the process and outcome evaluations. If the evaluator has not been identified, describe the steps the drug court will take to solicit and select the evaluator, and how the drug court will work with the evaluator to design the data collection process, collect and maintain the data, analyze the data, and prepare evaluation reports. Following is some specific guidance regarding information that must be included in this section of your application.

- a. **MIS Plan.** Recipients of drug court grant funds are required to attend MIS training (if receiving federal funds that are used to develop and implement an MIS).
 - 1) Describe the methods planned for collecting, storing, and maintaining adequate data to support the drug court's operations as well as the process and outcome evaluations.
 - 2) Describe the nature of the planned MIS, including staffing, hardware and software, standardized data collection forms, schedules of data entry, routine reports, quality assurance procedures, and statistical analysis capabilities.
 - 3) Discuss how data related to court operations, individual participant characteristics and behaviors, and treatment services will be collected, maintained, and integrated into existing automated systems.
 - 4) Discuss plans for data sharing agreements with treatment service providers and other agencies. Please note that all applicants are expected to adhere to applicable local, state, and federal confidentiality guidelines and requirements regarding treatment program records.

- b. **Process Evaluation.** The data collection plan must enable the drug court to summarize its basic operations and services delivery, client characteristics, and treatment outcomes.
- 1) Describe how the evaluation will include both qualitative and quantitative information.
 - 2) Describe the minimum dataset that will be used (see appendix C of the *Resource Guide for Drug Court Applicants* for suggestions) and how it will allow the drug court to describe the target population, the screening and assessment process, intake flow, sanctions and incentives, drug test results, in-program rearrests, number of status hearings, failure and completion rates, services delivered, and referrals made.
 - 3) Provide information on how the MIS will be flexible enough to allow the evaluator to analyze the following by participant characteristics and other factors: program services received, drug test results, in-program rearrests, length of time in the program, sanctions and rewards, number of court hearings, and completion rates.
 - 4) Describe the specific data elements to be collected and analyzed for the process evaluation, and how these data will be used for program operation and management. **Appendix C (Process Evaluations and MIS) of the *Resource Guide for Drug Court Applicants* contains useful information to guide the development of a proposed data collection plan.**
 - 5) Describe how the process evaluation will assist the drug court in assessing the effectiveness of its operations and ability to meet its goals and objectives, and how the findings could be used to change and improve the court's operations.

The process plan should incorporate measurable program goals and objectives. Examples include number and type of target population screened and admitted, program completion rates, average time in program (or 1-year retention rates, cohort-based), percentage of drug tests that are negative, percentage of participants rearrested during program participation, amount and type of services received, and percentage of participants employed after 1 year.

- c. **Outcome Evaluation.** A feasible plan for collecting and analyzing the impact of the drug court on 1-year postprogram recidivism outcomes is required.
- 1) Describe the plan for collecting data on rearrests, reconviction, and/or reincarceration for a period of 1 year following drug court completion (or dropout). *Applicants are encouraged to consider the collection of recidivism data for longer than a 1-year postprogram period. In addition, the identification of sources of data for other postprogram outcomes (such as drug use, employment and earnings, health care, drug treatment participation, etc.) is strongly encouraged (but not required) and should be described if available.*
 - 2) Describe the sources of data on rearrests and other outcome measures, and how these measures will be defined. It is recommended that individual rather than aggregate outcome data be collected and maintained.

- 3) Identify and justify a comparison group for measuring the relative change in postprogram recidivism outcome measures. The comparison group should be as similar as possible to the drug court participants.
- 4) Describe the procedures for collecting comparison group data on court processing, individual characteristics, rearrests, and other outcome measures if available.
- 5) Describe the specific data elements to be collected and analyzed for the outcome evaluation, and how these data will be used for program operation and management.
- 6) Describe how the outcome evaluation will assist the drug court in assessing the effectiveness of its operations, and how the findings could be used to change and improve the court's operations.
- 7) Describe the products expected from the evaluation.

IMPORTANT NOTE: If it is available, a copy of the consent form related to the collection of research data should be included with the application. If it is not available, please note that grant recipients will be required to submit it as a term and condition of their grant award. Applicants for implementation grants are not required to submit detailed final evaluation plans with this application. However, grant recipients will be required to submit evaluation plans to BJA for approval prior to release of grant funds to support the evaluation component.

D. Time Task Plan

The fourth section of the Program Narrative is a Time Task Plan. As part of the Program Narrative, all applicants must submit a Time Task Plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information.

1. The **goals** of the project. A goal is defined as the end toward which a program's efforts are directed. Goals can be presented as action statements indicating the ultimate purpose of a program. Goals must be realistic, quantifiable, and attainable.
2. The specific **objectives and activities** associated with each goal. An objective is defined as a specific effect, resulting from a program's activities, that must be achieved in pursuit of the program's ultimate goals.
3. The **timeframes** associated with each **activity**. An activity is defined as a service or function carried out by the program to achieve the stated objectives.
4. The **person(s) responsible** for ensuring that the activities are accomplished.

For a sample of a partial Time Task Plan, see the *Resource Guide for Drug Court Applicants*.

E. Applicant Certifications

The fifth section of the Program Narrative is the Applicant Certifications. All applicants are required to provide written certification in response to each of the following items. Please provide a statement for each item as part of the Program Narrative file.

1. Civil Rights Issues

Recipients of OJP financial assistance are required to comply with several federal Civil Rights laws, including the Omnibus Crime Control and Safe Streets Act of 1968 (Safe Streets Act) (42 U.S.C. 3711, et seq.), as amended. The Safe Streets Act prohibits discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. Accordingly, guidance is provided on the following three program areas for all grant recipients. Grant recipients must document how they plan to address these issues. Any recipients desiring further guidance on these points should contact OJP's Office for Civil Rights at 202-307-0690.

a. 12-Step Program and Religious Discrimination

Because the Safe Streets Act prohibits discrimination on the basis of religion, drug court grant recipients are prohibited from requiring individuals to participate in any substance abuse program that incorporates religious elements that are contrary to an individual's religious beliefs (mandatory participation in a substance abuse program that incorporates religious elements may also violate the U.S. Constitution). While requiring participation in some type of established recovery program does not run counter to the Safe Streets Act, numerous courts have found 12-step programs to be religious in nature. Therefore, if a drug court grant recipient uses a 12-step program as its primary method of treatment, it is required that the recipient also identify viable, alternative secular programs, which it can make available on an equal-access basis to individuals who object to the religious tenets of the 12-step program.

b. Services to Limited-English-Proficient Persons

National origin discrimination includes discrimination on the basis of limited English proficiency (LEP). To ensure compliance with Title VI and the Safe Streets Act, recipients are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation when necessary. The U.S. Department of Justice has issued guidance for grantees to assist them in complying with Title VI requirements. The guidance document can be accessed on the Internet at www.lep.gov, or by contacting OJP's Office for Civil Rights at 202-307-0690, or by writing to the following address:

Office for Civil Rights
Office of Justice Programs
U.S. Department of Justice
810 Seventh Street NW, Eighth Floor
Washington, DC 20531

c. Racial and Ethnic Preferences in Grantee Programs

Because these statutes prohibit discrimination on the basis of race and national origin, programs funded by OJP must not condition the delivery of benefits and services on racial classifications. Recipients, therefore, should exercise diligence and caution in attempting

to target programs and services to particular racial or ethnic groups. Absent clear evidence of past discrimination by recipients, programs that use race as a criterion for participation, or for providing a service, or benefit are generally impermissible.

2. Certifications required by 42 U.S.C. 3797u-3(d)(5)(6)

- a. Applicants must certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies during the implementation of the program.

Specific examples of consultation and coordination, as well as the identities of the affected agencies, must be provided. For example, “The drug court will coordinate with the Brownville Unitarian Church to provide counseling services to its clients.”

- b. Applicants must certify that participating offenders will be supervised by one or more designated judges with responsibility for the drug court program.

3. Treatment Providers

Applicants must provide certification that all treatment programs and providers used in the drug court program are licensed, certified, or accredited by appropriate state government or professional agencies.

4. Violent Offenders

Applicants must provide certification that violent offenders, as defined by 42 U.S.C. 3797u-2(a), will be excluded from drug court programs receiving funds under this program.

5. Supplanting Prohibition

Applicants must provide certification that federal funds will be used to supplement existing funds for program activities and will not replace (supplant) nonfederal funds that would otherwise be available for the same purpose. Potential supplanting will be subject to monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties. (See 42 U.S.C. 3797u-3(d)(5).)

F. Consent Form

Provide a copy of the **Consent Form** that will be used to ensure patient confidentiality, as required by 42 U.S.C. section 290dd-2, and the regulations implementing this law in 42 C.F.R. Part 2. For further information, see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. Sample consent forms appear in the *Resource Guide for Drug Court Applicants*.

3. Budget Detail Worksheet and Narrative Attachments

The next step in the Application Process is the budget. The applicant must submit both a Budget Detail Worksheet and a Budget Narrative. The Budget Detail Worksheet provides the detailed computation for each budget item. The Budget Narrative justifies or explains each budget item and relates it to project activities. For guidance developing your drug court budget, you should pay careful attention to the Sample Drug Court Budget and the list of Unallowable Costs in the *Resource Guide for Drug Court Applicants*. A blank Budget Detail Worksheet also appears in the *Resource Guide for Drug Court Applicants*.

Applicants applying for an **implementation grant** are required to do the following:

1. Provide a Budget Detail Worksheet and Narrative (as found on pages 20–30 of the *Resource Guide for Drug Court Applicants*) that justifies or explains each budget item, relates it to project activities, and supports the number of clients projected for in the application. If applying for a multiple-year project, provide the following.
 - a. Complete Budget Detail Worksheet and Narrative for year 1 of the project.
 - b. Complete Budget Detail Worksheet and Narrative for year 2 of the project.
 - c. Complete Budget Detail Worksheet and Narrative for year 3 of the project.
 - d. Year 1, year 2, and year 3 Budget Detail Worksheets must be uploaded to the Budget Detail Worksheet as one file. Similarly, year 1, year 2, and year 3 Budget Detail Worksheets and Narratives must be uploaded to the Budget Detail Worksheet Attachment as one file. Only the most current file uploaded as an attachment is saved as part of the application. If you do not assemble and attach year 1, year 2, and year 3 as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches year 1 as one file and subsequently attaches year 2 as a separate file, we will only receive year 2. Please note that in order for your application to be considered for funding all year 1, year 2, and year 3 Budget Detail Worksheets and Narratives must be submitted.
2. Applicants are reminded that federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. Match is restricted to the same uses of funds as allowed for federal funds. As required by statute, a portion of the match must be in cash. The term “portion” is not defined. Please refer to the *Resource Guide for Drug Court Applicants*, Program Provisions: D. Match Requirements, for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The amount of funding requested in the budget must be justified. One of the major criteria that must be met for a budget to be considered reasonable is for the number of clients to be served to match the services to be offered and the funds requested. For example, treatment services must be available for the number of clients to be served, and the budget must show how the amount requested for treatment ties to the number of clients to be served.

4. It is imperative that the amount of federal funds requested in box A under “Estimated Funding” in GMS reflect the total amount of federal funds over the entire 1-, 2-, or 3-year project period.
5. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the federal request and the match amount.
6. Recipients of drug court grant funds are required to include a line item in the budget to attend MIS training (if receiving federal funds to develop or implement an MIS), as well as for technical assistance or a visit to an operational drug court. The Drug Court Training and Technical Assistance Program provides recipients of BJA grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs.
7. Applicants must include detailed requests for data collection and evaluation costs. The amount budgeted should be sufficient to accomplish the data collection and evaluation plans described in the application, including the preparation of research reports. Budgets should distinguish MIS-related costs from evaluation costs, and internal vs. external staff costs.

IMPORTANT NOTE: All implementation grant recipients’ access to second- and third-year funds will be contingent upon BJA review and approval of the following:

1. Policies and Procedures Manual.
2. Time Task Plan, which has been updated and revised as needed.
3. A strategy that describes the jurisdiction’s plan for sustaining the drug court program after federal financial assistance has ended.

A. Sample Drug Court Budget

To view a sample Drug Court Budget, see the *Resource Guide for Drug Court Applicants*.

B. Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted. For a complete Budget Detail Worksheet, see the *Resource Guide for Drug Court Applicants*.

4. Assurances and Certifications

The next step in the application process is the Assurances and Certifications. Please verify that the name, address, phone number, fax number, and e-mail address of the authorizing official on the Assurances (OJP Form 4000/3) and Certifications (OJP Form 4061/6) forms are correct. The authorizing official must review the Assurances and Certifications forms in their entirety.

Prior to accepting the Assurances and Certifications in GMS, please check the box at the bottom of the GMS Assurances and Certifications page.

“I have examined the information provided here regarding the signing authority and certify that it is accurate. I am the signing authority, or have been delegated or designated formally as the signing authority by the appropriate authority or official, to provide the information requested throughout this application system on behalf of this jurisdiction. Information regarding the signing authority or delegation of such authority has been placed in a file and is available onsite for immediate review.”

To accept the Assurances and Certifications in GMS, click on the Assurances and Certifications link and click the “Accept” button at the bottom of the screen. Copies of these forms appear in the *Resource Guide for Drug Court Applicants*. The authorizing official does not need to submit signed hard copies of these forms to BJA.

5. Letters of Support and Authorization Letters

Letters of Support are required via fax. Additionally, if an Authorization Letter is required as part of your application for funding, it must be submitted via fax. These items must be faxed to 202-354-4147 by 5 p.m. e.t. **May 22, 2003**. Be sure to include the application number that is assigned by GMS (e.g., 2003-Z001-MD-DC) on all faxed documents for identification purposes.

Letters of Support

Adult Implementation Grant applicants are required to submit a letter of support from each of the key drug court team members: judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator. All letters of support should be written by the individuals who sign them and should include the following information:

1. An expression of support for the project.
2. Willingness to participate in development of the project.
3. Current role and responsibilities in the planning process.
4. Expected responsibilities and resources when the drug court is operational.
5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court.

6. If federal funding is requested to support new positions, how the positions will be maintained after federal assistance ends.

Authorization Letters

For the purposes of this application kit, eligible applicants are states, state courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided in the Definitions section of the *Resource Guide for Drug Court Applicants*. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of an eligible government entity** (e.g., county probation department, state and local district attorney's office, pretrial services agency) to be considered, it must be expressly authorized to represent an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. A sample authorization letter can be found in the *Resource Guide for Drug Court Applicants*.

Bureau of Justice Assistance Information

For information about BJA, its programs, and its funding opportunities, requesters can call the BJA Clearinghouse. The BJA Clearinghouse, a component of the National Criminal Justice Reference Service (NCJRS), shares BJA program information with state and local agencies and community groups across the country. Information specialists are available to provide reference and referral services, publication distribution, participation and support for conferences, and other networking and outreach activities. The clearinghouse can be reached by:

- ☐ **Mail**
P.O. Box 6000
Rockville, MD 20849-6000
- ☐ **Visit**
2277 Research Boulevard
Rockville, MD 20850
- ☐ **Telephone**
1-800-688-4252
Monday through Friday
8:30 a.m. to 7 p.m.
eastern time
- ☐ **Fax**
301-519-5212
- ☐ **BJA Home Page**
www.ojp.usdoj.gov/BJA
- ☐ **NCJRS Home Page**
www.ncjrs.org
- ☐ **E-mail**
askncjrs@ncjrs.org
- ☐ **JUSTINFO Newsletter**
E-mail to listproc@ncjrs.org
Leave the subject line blank
In the body of the message,
type:
subscribe justinfo
[your name]

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